DEC STD 132-0 Digital Services Safety and Liability Policies and Procedures

DOCUMENT IDENTIFIER: A-DS-EL00132-00-0000 Rev C2, 31-Jul-1991

ABSTRACT: This standard defines Digital Equipment Corporation's policies for reporting, pre-investigation, investigation, and problem resolution of alleged product safety incidents. It also defines the Product Safety Recall process for any part or product manufactured, sold, or serviced by Digital Equipment Corporation.

APPLICABILITY: The policies defined in this standard are mandatory for all Digital personnel or organizations that witness or perceive a product safety incident, or that are responsible for product safety procedures as defined herein.

STATUS: APPROVED 31-July-1991; use VTX SMC for current status.

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REVISION HISTORY:	Rev A,	02-Feb-1984	
	Rev B,	06-Dec-1985	ECO Number LJO01
	Rev B1,	22-Dec-1986	ECO Number LJO02
	Rev C,	01-Nov-1988	ECO Number CTS03
	Rev C1,	30-Mar-1990	ECO Number CTS04
	Rev C2,	31-July-1991	ECO Number NRO05

Document Management Category: Customer Services Product Safety (FS)
Responsible Department: Digital Services Safety and Liability
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APPROVAL: This document has been approved for use within Digital. Rev C2 incorporates clerical changes only.

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1 INTRODUCTION

1.1 CORPORATE PRODUCT SAFETY POLICY

It is the policy of Digital Equipment Corporation to:

- Monitor and maintain an appropriate level of safety for the performance of products manufactured, sold, or serviced by Digital Equipment Corporation, and;
- Respond to all reported incidents of a possibly hazardous nature in an efficient and professional manner.

1.2 DIGITAL SERVICES SAFETY AND LIABILITY (DSS & L) CHARTER

DSS & L's charter is to investigate alleged safety incidents worldwide as reported to Digital Services Safety and Liability, and, in support of this:

a. Assume responsibility for product safety policies in the Customer Services organizations

b. Establish strategies for the Digital Services Safety and Liability program and assure their implementation

c. Elevate Digital Services Product Safety issues requiring senior management action

d. Communicate Digital Services Safety and Liability program objectives, strategies, and progress to the Product Safety Management Committee

e. Maintain a central record database of all incidents on a world-wide level

f. Maintain a reasonable program for product safety education, training, and awareness within the Customer Services Organization.

1.3 SCOPE

DEC STD 132-0 defines the policies and procedures required to monitor and maintain the necessary safety performance of products designed, manufactured, sold, or serviced by Digital Equipment Corporation. It also defines the process for reacting in a reasonable manner to any potentially hazardous event.

1.4 RESPONSIBILITIES

The Customer Services Management Committee shall ensure that an organization exists whose charter includes the management of the policies defined in this standard.

It is the responsibility of Digital Services Safety and Liability to maintain this standard, implement its policies, and adhere to its established procedures.

1.5 DEC STD 132-0 OVERVIEW

The following outlines the contents of DEC STD 132-0.

Introduction

- Digital Corporate policy for product safety
- Digital Services Safety and Liability Charter

- Overview of DEC STD 132-0

Reporting and Pre-Investigation

- Policy for Reporting and Pre-investigation of alleged incidents
- Procedures for Reporting an incident
- Procedures for the Pre-investigation process as performed by Digital's Local Product Safety Representatives
- Responsibilities of the Information Management Group within Digital Services Safety and Liability

Investigation/Resolution

- DSS & L investigation process
- Problem resolution of product safety hazards
- Record Retention Program

Product Safety Recall Process

- Decision process
- Agency requirements
- Product Safety Recall Team
- Recall Program planning
- Implementation
- Program completion

Glossary Of Terms

An alphabetical listing of certain words/phrases used in DEC STD 132-0 that are clearly defined in order to uphold the precision of the standard.

Appendix

Contains sample Pre-investigation Report, Witness Statement, and Field Data Reporting forms.

Referenced Documents

Lists documents that were used as reference material during compilation of this standard or referred to for further details or clarification.

2 REPORTING AND PRE-INVESTIGATION

2.1 POLICY

It is the policy of Digital Equipment Corporation to:

a. Hold all employees/organizations responsible for reporting any alleged product safety incident;

b. Maintain a worldwide reporting process; and,

c. Provide local product safety representatives as close as reasonably possible to products designed, manufactured, sold, or serviced by Digital in order to efficiently handle and report all alleged product safety incidents in a professional and timely manner.

2.2 REPORTING PROCEDURES

2.2.1 What to Report

a. Any alleged incident that may have been caused by a part or product designed, manufactured, sold, or serviced by Digital, that resulted in damage to it or other equipment, property, or injury to a person.

b. Any information you possess regarding any defect in workmanship materials, design, or operational procedures that could possibly cause an incident.

2.2.2 When to Report

Immediately after you learn of any incident that may have been caused by a part or product designed, manufactured, sold, or serviced by Digital.

Immediately after you learn of any defect in workmanship, materials, design, or operational procedures.

2.2.3 Where to Report

Your local Product Safety Representative, OR

Digital Services Safety and Liability
Digital Equipment Corporation
40 Old Bolton Road
Stow, Massachusetts 01775

During Business Hours (8:15 a.m. - 5:00 p.m. Eastern Standard Time):

DTN: 276-9242 Outside: (508) 496-9242

24-Hour Product Safety Emergency Incident Reporting Hotline: (617) 646-0220

NOTE

The Emergency Hotline shall provide 24 hour coverage for the reporting of alleged product safety incidents, alleged employee safety incidents, and provision for calls involving chemicals. The Hotline shall also provide access to the Digital Services Safety and Liability Manager.

2.2.4 How to Report

When reporting an alleged product safety incident, supply the following information:

a. Your name, address, phone number, DTN, and employee badge number.

b. The Digital product(s) involved.

Include option designator, serial number(s), and location of unit(s) or part(s)—these may be required for evidence.

c. Customer's name, address, phone number and name of customer contact.

d. Customer's level of concern.

e. Date and time of incident.

f. Type of incident:

Electrical:	Shock - Energy
Fire:	Flame - Smoke
Mechanical:	Stability - Moving Parts - Sharp Edges
Chemical:	Toxicity - Explosion - Disposal
Miscellaneous:	Hot Surfaces - Noise - Radiation

g. Description of incident.

h. If there was a fire, was fire department called?

i. Was anyone injured?

If yes, provide injured person's name, address, and phone number.

j. Was medical attention required? If yes, describe injuries.

k. Was there property damage? If yes, describe.

l. Was there product damage? If yes, describe.

2.2.5 Local Reporting Guidelines

Each plant or area shall have local emergency and local incident reporting procedures approved by the Local Product Safety Representative and Digital Services Safety and Liability. Where a procedure does not exist the following guidelines shall apply.

Upon occurrence/discovery of an alleged product safety incident:

1. Notify a qualified technician or supervisor to shut-off equipment.
2. If an injury is involved, regardless of extent, immediately notify medical personnel and security.
3. If fire and/or smoke is evident, pull fire alarm and notify security.
4. Isolate the equipment and the entire area and do not allow anyone to tamper with, work on, repair, or operate the suspect equipment, other than as indicated in step 1 above.
5. Notify the Local Product Safety Representative.
6. If a Local Product Safety Representative cannot be reached, contact Digital Services Safety and Liability at DTN: 276-9242 between 8:15 a.m. and 5:00 p.m., Eastern Standard Time, or, after business hours, use the 24-Hour Product Safety Incident Reporting Hotline: (617) 646-0220.
7. Call DSS & L for guidance.

2.2.6 Security for Correspondence

Field to Digital Services Safety and Liability

All correspondence (electronic or hardcopy) during reporting of an incident must bear the words "Digital Confidential - Do Not Copy" on each page.

Digital Services Safety and Liability to Field

All incident correspondence shall be marked "Digital Confidential - Do Not Copy". All correspondence will be numbered and may not be copied without specific authorization from Digital Services Safety and Liability.

If it is necessary for a customer to receive written feedback regarding the incident, the Field should contact the responsible engineer in DSS & L, who shall provide the necessary information to the Field. The Field is then responsible for composing a customer response and having it approved through their local legal counsel before dissemination to the customer.

2.3 LOCAL PRODUCT SAFETY REPRESENTATIVES/RESPONSIBILITIES

Local Product Safety Representatives are individuals in the following organizations/areas who have been trained to perform product safety incident pre-investigations. DSS & L is responsible for supporting the Local Product Safety Representative as required to complete the pre-investigation.

2.3.1 Manufacturing

Plant Product Safety Coordinators:

Policies for pre-investigation of all alleged product safety incidents in Digital manufacturing plants are established in *DEC STD 005-5 Manufacturing Product Safety Policy and Procedure for Pre-Investigation of Alleged Product Safety Incidents*. DEC STD 005-5 outlines the pre-investigation responsibilities of manufacturing employees, Plant Product Safety Coordinators, and Manufacturing Product Safety and Regulations Council Representatives (SAR).

2.3.2 Engineering

Engineering Product Safety Representative:

Policies for the pre-investigation of all alleged product safety incidents in engineering groups are established in EL-00424-00, *Digital Product Safety Handbook*. Subheads of this document detail the responsibilities of Engineering Product Safety with reference to DEC STD 132-0.

2.3.3 Customer Services

EUROPE

Each country in Europe has an assigned Local Product Safety Representative. If you are unaware of this person, contact:

Digital Equipment Centre Technique (Europe)
Route Des Cretes
Sophia Antipolis
Zone Des Bouillides
Valbonne, France
LOC/MS: VBO
TEL: (33) 9295511

European Digital Services Safety and Liability shall maintain, distribute, and audit local emergency and local reporting procedures in Europe. European Digital Services Safety and Liability shall ensure that the pre-investigation, as defined in this standard, is completed for alleged product safety incidents reported in Europe. Where further decentralization of Local Product Safety Representatives exists, at the regional or country level, DSS & L shall be courtesy-copied on all pre-investigation correspondence not defined in this document.

GENERAL INTERNATIONAL AREA (GIA)

GIA Digital Services Safety and Liability shall maintain, distribute, and audit local emergency and local reporting procedures. GIA Digital Services Safety and Liability shall also ensure that the pre-investigation, as defined in this standard, is completed for all alleged product safety incidents reported in the GIA.

Where further decentralization of Local Product Safety Representatives exists, to the regional or country level, DSS & L shall be courtesy-copied on all pre-investigation correspondence not defined in this document.

Each area of GIA has an assigned Local Product Safety Representative. If you are unaware of this person, contact the appropriate office at the below address.

CANADIAN REGION

Canada Digital Services Product Safety
Digital Equipment of Canada Ltd.
200 Boulevard de la Technology
Hull, Quebec
Canada J8z 3H6
LOC/MS: CTH2/3
TEL: 819-772-7000

FAR EAST REGION

Far East Region Headquarters
Digital Equipment Hong Kong Ltd.
19/F Fleet House
38 Gloucester Road
Wanchai, Hong Kong
LOC/MS: HGO
TEL: 852-5-8614200 Ext: 4214

JAPANESE REGION

Digital Equipment Corporation, Japan
1-43-5 Sekiguchi, Bunkyo-Ku
Tokyo
JAPAN 112
LOC/MS: EWB
TEL: (81)-(3)-3207230

LATIN AMERICAN/CARIBBEAN REGION

Digital Equipment Corporation
334 South Street
Shrewsbury, MA 01545
LOC/MS: SHR3
TEL: (508)-841-3111

SOUTH PACIFIC REGION

Sydney South Pacific Regional Office
Digital Equipment Corporation Australia Pty. Limited
P.O. Box 384
Concrod West, New Southwales 2138
Australia
LOC/MS: STL
TEL: (61)-(2)-9657555

INDIA

Digital Equipment (India) Ltd.
33/44-A 8th Main Road
Rajmahal Vilas Extension
Bangalore - 560 080
TEL: 345734/348266/340068
Telex: 0845-2741

GIA GOVERNMENT BUSINESS GROUP
Digital Equipment Corp.
100 Nagog drive
Acton, MA 10720
TEL: (508) 264-6921

UNITED STATES

Atlanta Customer Support Center (CSC)
DTN: 237-7047
LOC/MS: SHR3

The Atlanta CSC Local Product Safety representative shall conduct pre-investigations on all customer calls reporting that an alleged product safety incident has occurred and on calls that imply product safety related events.

Atlanta CSC employees are also responsible for taking immediate action in notifying medical personnel, security, occupational safety, and Plant Product Safety in accordance with the requirements of their local emergency procedure.

Managers and supervisors shall obtain and review local incident reporting procedures and local emergency procedures with their employees.

ALL OTHER ORGANIZATIONS

Contact Digital Services Safety and Liability as described in subhead 2.2.3.

2.4 PRE-INVESTIGATION PROCESS

The Local Product Safety Representative (LPSR) is primarily responsible for the pre-investigation process. Included under the following subheads are the procedures required for LPSR's or any other Digital employee who becomes involved in the pre-investigation process.

2.4.1 Word Control

Legal risks can be created when employees are careless about the content of their written communications. The policy of the Corporate Law Department requires that the guidelines listed below be followed for written or verbal communication of an alleged incident.

a. Be accurate, clear, and concise.

b. Avoid speculation or exaggeration.

c. Accentuate the positive aspects of our programs and technologies.

d. Never draw conclusions, particularly about the legality of the company's policies /practices or our liability to a third party.

e. Avoid statements that can be misconstrued.

f. Keep in mind that any document relevant to an issue in litigation may be subject to be being produced to an adversary during trial, regardless of internal security markings of "Digital Confidential" or "Digital Restricted Distribution".

2.4.2 Customer Awareness

Incident Situations - Try to understand the feelings and problems of your customers -- there may just have been an incident and one of the customer's employees may have been severely injured. Emotions run high in these situations and the customer may feel partially responsible and/or liable, and may be afraid that something worse could have happened or may happen again.

Given that the customer either believes or would like to believe your product caused the incident, he/she may be angry and want action.

In this situation, your response should be as follows.

1. Identify your role as a gatherer of all pertinent information.
2. Establish that you ARE part of a team that will investigate and follow-up.
3. Establish that you ARE NOT a lawyer, Product Safety engineer, or product liability specialist.
4. Obtain an understanding of what happened so that available resources within Digital are explored and appropriate groups notified.
5. Inspire confidence.
6. Acknowledge concern without indicating liability (Do not acknowledge a product defect or indicate an unsafe product).
7. Do not make any statements regarding the product involved in the incident.
8. Distinguish between emotional and factual information received.
9. Record the facts.

10. Be aware of customer's expectations regarding resolution of incident.

2.4.3 Securing Area/Photos

Isolate the suspect equipment and the entire area and do not allow anyone to tamper with, work on, repair, or operate this equipment. The Local Product Safety Representative should have access to a camera in order to take immediate photographs at the scene. The photographs shall be identified by local reference case number and a description of the view.

2.4.4 Pre-Investigation Report Form

When an incident is reported, a Pre-Investigation Form shall be filled out with all pertinent information relating to the alleged incident. This form may be completed by any Product Safety Representative or by an Information Management Specialist located within Digital Services Safety and Liability (Stow, Massachusetts).

The form should be sent to DSS & L headquarters via hardcopy or electronic mail, along with any pictures, witness statements, or other information. A sample Pre-Investigation Form and an explanation of each field on the form is provided in Appendix A.

2.4.5 Witness Statements

Witness Statement forms shall be given to everyone involved in or surrounding the incident, preferably within one hour of incident occurrence. The pre-investigator shall review the form with the witness and ask questions intended to prompt the witness' recall of details and other issues that he/she may otherwise consider unimportant. DSS & L is available to provide direction regarding these questions.

Interview notes shall be placed on the back of the Witness Statement form. The witness must sign this statement. All Witness Statements must be forwarded to Digital Services Safety and Liability, where they become a permanent part of the case file. Appendix A contains a sample Witness Statement form.

Follow the guidelines listed below when interviewing a witness:

1. Interview the witnesses (promptly and individually) by first reading their complete statement and then asking questions to provide detail.
2. Guard against sarcasm, skepticism, or accusations.
3. Ask effective questions that prompt the witness. (such as: Can you be more specific? Is there anything else?)
4. Check your understanding of the incident with the witness.
5. Go back to the scene of the incident or use the product involved in the incident to review details.
6. Immediately add your interview notes to the back of the form.
7. Obtain the witness' signature to the Witness Form and have the signature witnessed.

2.4.6 Reporting to DSS & L

Contact Digital Services Safety and Liability within one to four hours to supply the initial information you have received. Do not delay calling if some information is not available.

2.4.7 Obtaining Equipment

Be prepared to provide the product or representative components/materials to DSS & L if requested. DSS & L maintains a storage area where defective materials involved in alleged incidents are tagged and stored for evidence. The amount of material and method of shipment should be discussed with DSS & L when reporting the incident. Use your discretion as to whether the option, power supply, or components will be required for evidence and confirm this with DSS & L.

Customer Services Logistics shall provide support to the Field when equipment must be returned to DSS & L for investigation. This support shall be evidenced by recognizing DSS & L as an equipment holding location for alleged product safety incidents. When equipment is no longer needed for investigation, DSS & L will forward equipment to the appropriate location for scrap or credit as directed by Field Service Logistics.

2.5 INFORMATION MANAGEMENT

Information Management is an internal group within Digital Services Safety and Liability responsible for the processing of reported incidents.

2.5.1 Discovery

When an incident is reported, the Information Management Specialist shall review and verify pre-investigation data to ensure completeness and accuracy. This is accomplished by the following:

1. Contacting the Source

   Speak with the source of the alleged safety incident to verify current data or request additional information. The source shall be contacted only after reviewing the pre-investigation information. Customers are never contacted by DSS & L. If the customer is listed as the source, all further contact (questions, discussion, or clarification) shall be performed by the Unit Manager or Customer Services Engineer.

2. Researching Using the IRS Database

   IRS is a database where all product safety incidents worldwide are recorded/stored. It allows retrieval of information on all cases by type of incident and type of equipment, thus enhancing research for similar or related cases. Within these two fields, various sorts for retrieval of more specific information are also available (such as all incidents reported on a given option, specific problem analysis of certain hardware defects, and/or specific problem resolution criteria of certain safety hazards).

2.5.2 Level Of Risk (LOR) Assignment

Once the above information has been compiled, the Information Specialist shall assign the preliminary Level of Risk (LOR) to the incident and then review the incident with the responsible DSS & L engineer for approval.

LOR is a rating assigned to each incident reported. It is based on a combination of the severity of the incident and the probability of recurrence.

LORs are defined as:

1. Imminent* - An impending risk where severe injury has or is about to occur in the near future.
2. Substantial* - A viable risk where injury has or is about to occur at some time in the future.
3. Probable - A risk where some injury can occur.
4. Possible - A risk where injury may be capable of happening.
5. Negligible - A risk not worth considering where an insignificant injury may be capable of happening.

* Imminent or Substantial risk immediately triggers notification of the incident to the DSS & L Manager for elevation to a Quick Action Committee (QAC) forum. Refer to subhead 4.2.3 for more details on QACs.

2.5.3 Investigation/Screening Determination

After a thorough review of all incident information and assignment of the Level of Risk, a determination is made either to open a new investigation or screen the incident.

Opening a New Investigation

a. Actual Incident

   Damage to a person, property, or product. An investigation is opened and DSS & L Manager immediately notified.

b. Potential Incident

   Opportunity is present for damage to a person or property/product. Investigation is opened after review by DSS & L Manager.

Screening an Incident

"Screening" is a classification system used for reported, alleged incidents when an investigation is not performed by Digital Services Safety and Liability. Categories of screening are:

a. Consolidation to a Previous Case

   New incident has identical symptom, problem, or cause as a previously investigated case (within a 5 year period).

b. Not a Product Safety Incident

No indication in the available information that any personal injury, property damage, or product damage would result.

c. Inquiry

Customer/Digital employee/other Product Safety organization.

d. Small/Negligible Risk

e. Uninvestigative Incident

Investigation is unable to continue due to incomplete/ unavailable data or equipment needed for investigation.

f. Responsibility Rests with Other Organization

A determination is made that the alleged incident should be transferred to an organization that is primarily responsible for resolution of the identified problem (such as Risk Management or Environmental Health and Safety).

3 INVESTIGATION AND RESOLUTION

3.1 POLICY

Digital Equipment Corporation shall respond to and analyze all reports of alleged product safety incidents. When the analysis deems appropriate, a full investigation of these incidents shall be performed in a professional and timely manner.

Digital shall ensure that all product safety related problems identified by DSS & L investigations are resolved by the corporation within a reasonable time frame. To support this commitment all necessary resources shall be made available to the DSS & L investigator, including the full support of Corporate Product Safety and Regulations. These resources may be the assistance of any person or resource within the company, on a first priority basis, required to identify and resolve any issue that may constitute a possible, probable, substantial, or imminent risk.

DSS & L will review all Field Change Orders (FCOs). The purpose of this review is to verify that the FCO enhances the safety of the product, reduces or eliminates the potentially hazardous condition in the product, and does not create any other potentially hazardous conditions.

DSS & L shall review all Code "1" Engineering Change Orders (ECOs). These are Safety ECOs and are usually generated from the problem resolution phase of an incident investigation. The purpose of this review is to verify that the ECO enhances the safety of the product, reduces or eliminates the specific potentially hazardous condition in the product, and does not create any other potentially hazardous conditions.

DSS & L must sign Corporate Implementation Plans (CIPs) for S-Coded FCOs. DSS & L will ensure that the CIP addresses the objectives of risk reduction concerning affected populations, customer notification, timeliness, and implementation. DSS & L shall coordinate between the CSSE Team, and where applicable, organizations such as the Law Department, Risk Management, the Quick Action Committee, and others. (Refer to *DEC STD 071-3 Field Change Order Conventions and Processing - Field Service Product Safety and Liability*).

DSS & L shall review all Tech Tips categorized as Safety Tech Tips, and Tech Tips required by criteria for problem resolution of a specific product.

DSS & L shall maintain a record of all reported alleged product safety incidents.

DSS & L shall review and approve all Product Safety related communications to the Field from the US/GIA and European Area. The Quick Action Committee shall be used when the level of risk is determined to be Imminent or Substantial.

3.2 PROBLEM DETERMINATION

3.2.1 Review of Technical/Engineering Documentation

DSS & L investigators shall thoroughly review/research the following as they relate to the incident being investigated:

a. Illustrated parts breakdown and Field Maintenance print sets including schematics and assembly drawings

b. User manuals

c. Service manuals

d. Installation manuals

e. Technical manuals.

Bill of Materials and used-on information is available on the Engineering Product Library System.

Purchase specifications are available on microfiche at Digital Services Safety and Liability.

3.2.2 Examination of Equipment

The investigator shall examine the option(s) affected for obvious product conditions or defects that may have caused the incident. *DEC STD 119-1 Digital Product Safety - Design Criteria* is used as a reference during this process as it defines the safety design criteria applicable to the design and development of all Digital hardware products.

Note that discrepancies between *DEC STD 119-0 Digital Product Safety - Introduction and General Requirements* and problem resolution criteria established by the investigator shall be documented and resolved to ensure consistency with the requirements for all of Digital's safety organizations, and to keep these organizations informed of the safety performance of Digital's products in the field.

3.2.3 Simulation/Test Labs

The investigator shall attempt to simulate the incident by reproducing the situation, conditions, and/or fault in a laboratory situation. A Test Plan shall be drawn up for the incident to be simulated and shall include:

a. Explicit description of what investigator is looking to find

b. Specific test to perform

c. Results investigator desires to capture

d. List of alternatives during testing based on results attained.

The Corporate Component Engineering Test Laboratory, The LEEPS Lab, and Materials Research Lab are all available to support the Investigator. These labs will perform the actual testing of the equipment, or the Investigator may do the testing. When testing is complete the lab shall forward the test results in report form to the Investigator.

3.2.4 Laboratory Report Analysis

Analysis of lab results shall be performed by the Investigator (and, at times, an DSS & L Investigator's Team Meeting) and reviewed by the DSS & L Manager for approval.

3.2.5 Determination of Problem

Based on the information obtained, the Investigator shall determine the problem and/or product condition or defect that may have caused the alleged safety incident and whether the problem and/or product condition or defect is a safety hazard. If determination cannot be performed, more data shall be obtained and further tests run.

3.2.6 Reevaluate/Verify Level of Risk

Reevaluate/verify the level of risk based on findings of lab simulation, report analysis, and problem determination.

3.3 RESOLUTION

Incident investigation and analysis is a method used to prevent accidents. As such, the investigation must produce information and establish criteria for problem resolution that lead to a reduced level of severity and probability, thereby reducing the number of accidents.

3.3.1 Criteria for Resolution

Determine the criteria for problem resolution that will eliminate or reduce the hazard to an acceptable level. The criteria is usually specified by the end result desired, but may be specified by action items and resolution methods if known.

Prior to implementation, Criteria for Resolution must be reviewed by the DSS & L Manager for approval.

The below identifies, but does not limit, common Criteria for Resolution, listed by resolution methods and responsible groups.

Resolution Methods:

a. Code "1" ECO

b. Component Alert

c. Engineering Change Order (ECO)

d. Field Alert

e. S-Coded Field Change Order (FCO)

f. Operations Alert (OPAL)

g. Product Safety Recall

h. Quick Action Committee (QAC)

i. Tech Tips

Responsible Groups:

a. Customer Services Systems Engineering

b. Corporate Product Safety and Regulations

c. Engineering Product Safety

d. Customer Services Logistics

e. Customer Services Environmental Health and Safety

f. Law Department

g. Manufacturing Product Safety

h. Risk Management

i. Product Safety Management Committee

Criteria for Resolution are described on the following pages.

RESOLUTION METHODS

a. **Code "1" Safety ECO**

Code "1" Safety ECOs are usually generated from the problem resolution phase of a Digital Services Safety and Liability incident investigation. These ECOs are generated to enhance the safety of the product, reduce or eliminate the specific potentially hazardous condition in the product, and to ensure that the product does not create any other potentially hazardous conditions.

DSS & L shall review and approve all Code "1" Engineering Change Orders (Safety ECOs).

b. **Component Alert**

Notification of a component problem to all holders (stockrooms) of that component. Issued by Component Engineering.

c. **Engineering Change Order (ECO)**

An ECO is used to correct a problem in the design of a product, potential problems or hazards, or improvement to a product in terms of either cost or performance. An ECO is required in order to change documentation or products after their release. The ECO specifies the changes required, details of implementation, and the activities required to properly install the change. The ECO process is detailed in *DEC STD 100-0 Policy and Requirements for the Product Change Process*.

d. **Field Alert**

The Field Alert is used by the DSS & L investigator to notify the field of impending corrective action, distribute information, request information, request damaged parts, and make announcements. They are "time critical" and are distributed to every Unit Manager. Field Alerts are NOT a substitute for the FCO process and will not be used to effect field rework or retrofit. Field Alerts are issued after approval of the DSS & L Manager and with the concurrence of CSSE.

e. **S-Coded Field Change Order/Retrofit (FCO)**

An S-Coded Mandatory FCO is performed when a part or product designed, manufactured, sold, or serviced by Digital is changed to make a machine compliant with the laws or regulations relative to product safety; to enhance the safety of products; to minimize the risk and development of a potentially hazardous condition; or to correct a defect constituting a potentially hazardous condition that could result in loss of life, personal injury, or a significant loss of property. Refer to *DEC STD 071-0 Field Change Order Policy - Introduction* for FCO procedures.

CSSE is responsible for authoring an S-Coded FCO and ensuring that all phases of the ECO/FCO process are followed. They are responsible for submitting a draft of the S-Coded FCO to FS Logistics and DSS & L.

DSS & L shall review and approve all Field Change Orders to ensure that the Customer Services Engineer will not be subject to potentially hazardous conditions while installing the FCO.

When applicable to the FCO, FS Logistics is responsible for the following:

1. Assigning a parts availability date
2. Logistics coding information
3. Logistics review/approval to the FCO
4. Supplying Customer Services with EQ and FA kits
5. Assigning appropriate numbers to EQ and FA kits.

f. **Operations Alert (OPAL)**

Operations Alert - Places a HOLD on a particular component, option, or other part. The decision to initiate an OPAL results from a QAC meeting. (The OPAL procedure is documented in *DEC STD 005-0 Operational Alert (OPAL) Procedure*).

g. **Product Safety Recall**

A product safety recall occurs when a safety hazard is detected in a product and the severity is determined to be capable of causing substantial injury or damage to people or property. The decision to issue a product safety recall results from a QAC meeting. (Information on the product safety recall process may be found in heading 4; further details can be found in the DSS & L Operations Manual).

h. **Quick Action Committee (QAC)**

When DSS & L determines that the reported incident could constitute an imminent or substantial safety hazard, they will contact the Corporate Product Safety and Regulations Manager and request him to convene a QAC. A Quick Action Committee meeting shall take place within 24 hours after the Corporate Product Safety and Regulations Manager has been notified of a hazard.

The Quick Action Committee consists of:

Corporate Product Safety and Regulations Manager (Chairman)
Digital Services Safety and Liability Manager
Manufacturing Product Safety Manager
Lawyer responsible for the product
Product Manager
Risk Management Manager

Others, as required.

Refer to EL-00424-00, *Digital Product Safety Handbook* for details on QAC procedures and responsibilities.

i. **Tech Tips**

Tech Tips are generated to announce or describe a problem, symptom, defect, action, or design feature. They are usually, but not always, related to safety issues. Their intended audience is the same as for Speed Bulletins. DSS & L shall review and approve all Safety Tech Tips generated for problem resolution.

RESPONSIBLE GROUPS

a. **Customer Services Systems Engineering (CSSE)**

CSSE shall provide technical product expertise and interface with Engineering for problem resolution of safety problems (ECO and FCO). CSSE shall notify DSS & L of all safety related problems and shall follow-up and maintain communication between Engineering and DSS & L to ensure timely resolution. Problems shall be resolved within the action/time requirements agreed upon by the DSS & L Engineer and the CSSE Engineer. CSSE shall not communicate safety issues to the field without the approval of DSS & L.

b. **Corporate Product Safety and Regulations**

Notify the Corporate Product Safety and Regulations Manager of incidents that are found to have compromised safety regulations and/or compliance. Modification of safety design criteria for future products must be in accordance with *DEC STD 119-0 Digital Product Safety - Introduction and General Requirements*.

The Corporate Product Safety and Regulations Manager shall chair QAC meetings.

c. **Engineering Product Safety**

Notify the Engineering Product Safety Manager of incidents that are found to have compromised safety design.

d. **Customer Services Logistics**

Alert Logistics to inspect and purge a known product defect, and inform them that similar or related defects are possible.

e. **Customer Services Environmental Health and Safety**

The CS Environmental Health and Safety manager shall be responsible for employee safety procedures in the field. This group shall also be responsible for cases reported to DSS & L that primarily concern employee safety.

f. **Law Department**

Notify the Corporate Law Department that a liability situation may exist and obtain consultation on legal obligations. Continue to interface with the Law Department to ensure that the criteria for resolution satisfies all legal and moral obligations. Corporate Law shall supply resources to Digital Services Safety and Liability concerning the legal liabilities and implications on product safety problems. The Corporate Law Department shall, upon request by DSS & L, review all communications to the field within 24 hours.

g. **Manufacturing Product Safety**

Alert the Manufacturing Product Safety Manager to inspect and purge a known product defect, and inform that similar or related defects are possible. An Operations Alert (OPAL) stops product shipment at all manufacturing plants and Point-of-Manufacture (POM) locations.

h. **Risk Management**

Risk Management shall investigate and, where appropriate, provide specialized resources on liability issues and insurance claims.

All injuries to Digital employees resulting from an incident shall be referred to Risk Management. Risk Management shall forward to DSS & L a copy of any accident report involving parts or products manufactured, sold, or serviced by Digital.

i. **Product Safety Management Committee**

The Product Safety Management Committee shall determine the final course of action to be taken when all safety organizations fail to agree upon the problem resolution criteria resulting from an investigation completion report. Refer to EL-00424-00, *Digital Product Safety Handbook* for the charter and membership of this committee.

3.3.2 Interfacing with Problem Resolver

The DSS & L Investigator shall interface with the problem resolver to:

1. Review the incident description, problem and analysis
2. Detail criteria for problem resolution
3. Obtain acceptance of responsibility by the resolver
4. Ensure appropriate time frame for resolution.

3.3.3 Monitoring Resolution

DSS & L shall measure problem resolution against the action/time requirements and notify problem resolvers when results are unacceptable. DSS & L shall escalate open cases to ensure that all cases are properly resolved and closed within specified time limits.

3.3.4 Determining Case Closure

When the criteria for problem resolution has been met, the DSS & L Investigator shall approve the case for closure. If the resolver has solved the problem, but in doing so has changed the original criteria for resolution, the DSS & L Manager must approve closure of the case. DSS & L shall obtain the documentation required to verify that problem resolution is ready for implementation and place such documentation in the case file.

3.3.5 Record Retention

It is the policy of Digital Equipment Corporation to have its Digital Services Safety and Liability Group maintain a record of all alleged product safety incidents reported.

Digital Services Safety and Liability is responsible for the administration of a Record Retention program in compliance with Digital Records and Information Management's (DRIM's) Corporate Record Retention requirement to retain complete hard copy incident information for a period of twenty (20) years.

4 PRODUCT SAFETY RECALL PROCEDURE

4.1 POLICY

Digital Equipment Corporation's Product Safety Recall Policy is to maintain and implement a worldwide product safety recall process whenever an imminent or substantial risk exists. The Executive Committee has empowered Digital Services Safety and Liability with responsibility for this process. The objectives of the recall process are as follows:

a. Protect service personnel

b. Protect the customer/user

c. Comply with applicable laws and government regulations

d. Protect the assets of the corporation

e. Repair/remove products in the market at minimum cost and inconvenience to the customer whenever an imminent or substantial risk exists.

Further, it is the policy of Digital Equipment Corporation to eliminate such imminent or substantial risk by documenting corrective action with an Engineering Change Order (ECO), and implementing the ECO in the installed base through a Field Change Order (FCO).

All Product Safety Recalls require a Code "1" Engineering Change Order and Mandatory Field Change Order.

4.2 DECISION PROCESS

4.2.1 Why a Recall?

A Product Safety Recall is necessary when a safety hazard is detected in a product and the severity is determined to be capable of causing substantial injury or damage to people or property. The rules on what constitutes a safety hazard are not fixed and rigid at the present time; both legal and technical counsel should be used to review the laws applicable to a particular product. In some instances, the decision for a Product Safety Recall will be controlled by the regulatory agency governing that product. In other cases, it is up to Digital management to make a moral or ethical judgment.

4.2.2 Substantive Analysis/Recommendations

DSS & L shall clearly and specifically describe the problem, nature of the hazard, and the product in question. The potential risk involved, including all possible effects on the consumer, should also be included. This information must present the total picture of the product and specify required safety information so that the decision-making body can clearly and properly react to the recommended recall.

4.2.3 Quick Action Committee

A Quick Action Committee (QAC) shall be convened when the DSS & L Manager notifies the Corporate Product Safety and Regulations Manager of an incident that constitutes an imminent or substantial hazard.

Membership:

a. Corporate Product Safety and Regulations Manager (Chairman)

b. Digital Services Safety and Liability Manager
c. Manufacturing Product Safety Manager
d. Lawyer responsible for the affected product
e. Product Manager
f. Risk Management Manager
g. Others, as required

Responsibilities:

The Corporate Product Safety and Regulations (CPS & R) Manager is responsible for chairing a QAC meeting, the purpose of which (in this case) would be to confirm the need for a Recall. The manager is also responsible for making the decision regarding a recall. If this determination is reached, the incident and all supporting documentation for the decision is escalated to Vice Presidential management level for approval. (Details for QAC meetings/procedures are documented in EL-00424-00, *Digital Product Safety Handbook*, under Product Safety Quick Action Procedure.

The Corporate Product Safety and Regulations Manager and the Digital Services Safety and Liability Manager are responsible for presenting the recall decision to Customer Services Management Committee and any/all other forums as required.

4.2.4 Management Approval

a. CSMC - Customer Services Management Committee

   Corporate Vice President for Customer Services and staff

   CSMC shall immediately notify responsible Corporate Field Service Organizations to support the Product Recall Team as a top priority.

b. SSMI - Sales, Services, Marketing International

   Senior Vice President and staff

c. Executive Committee

   Digital Equipment Corporation President and staff

4.3 AGENCY REQUIREMENTS

4.3.1 Consumer Product Safety Commission

Notification to the Consumer Product Safety Commission (CPSC) is required only if the product involved in the recall is determined to be a consumer product.

Title 16, Code of Federal Regulations, Subchapter B of the CPSA regulations on Substantial Product Hazard notification, requires that the Commission receive notification, by any means, within 24 hours after determination that a substantial hazard exists. Detailed written confirmation should follow within 48 hours.

This notification should be coordinated through the Law Department to ensure compliance to current reporting laws/regulations of the CPSC.

4.3.2 International Agencies

Request support from the Legal Department to determine necessary compliance with international laws governing recall conditions of each particular country involved.

4.4 RECALL TEAM

4.4.1 Membership/Chairman

The Digital Services Safety and Liability Manager shall appoint a Product Safety Recall Team Chairman and convene the Recall Team.

Membership: The Recall Team is made up of individuals representing the following areas/organizations:

a. U.S. Area Customer Services

b. GIA Area Customer Services

c. European Area Customer Services

d. Customer Services Logistics

e. Engineering

f. Manufacturing

g. Digital Services Safety and Liability

h. Customer Services Systems Engineering

Organizations that may be asked to attend the team meetings on a consulting basis include the following:

a. Corporate Public Relations

b. Design Engineering

c. Law Department

d. Marketing

e. Product Management

f. Risk Management

4.4.2 Recall Team Responsibilities

The Recall Team shall be responsible for the following:

a. Managing all aspects of the Recall Process

b. Publishing Progress Reports

c. Communications with Area Teams

d. Notifications

e. Approval of Implementation Plans

f. Monitor and Audit Implementation Plans

g. Evaluation of the Recall Program

4.4.3 Progress Reporting

The Recall Team Chairman shall be responsible for weekly reports to the appropriate Senior Vice President, and any other appropriate management committee requesting this information.

4.5 RECALL PROGRAM PLANNING

4.5.1 Product Identification

Manufacturing shall supply the Recall Team with the following information upon request:

a. Option part number, serial number, and date of manufacture of all affected products

b. Option part number, serial number, and date of manufacture of all affected products located within manufacturing and distribution

c. Option part number, serial number, date of manufacture, and the location (to whom shipped) of all affected products NOT located within manufacturing.

Manufacturing must maintain the required manufacturing traceability system defined in *DEC STD 131-0 Traceability Policy*.

The Recall Database Administrator shall also supply the Recall Team with the location of all products involved in the recall. If the affected product is not part of the automated recall database, the administrator shall be responsible for obtaining customer information from other sources.

GIA, U.S., and European areas shall be responsible for generating a customer list for the Recall Team within 72 hours after request. The following specifics must be included:

a. Customer name and address (including sufficient information for sending written notification through local post office or telegram services to the end user)

b. Required product information (option part number, serial number).

4.5.2 Generating Technical Solution

Engineering Change Order (ECO):

A Code "1" Engineering Change Order (ECO) shall be issued by the engineering group responsible for correcting the problem. Indicate the following on the Code "1" ECO:

Customer Services affected?	"Yes"
Field Change Order required?	"Yes"
Level of urgency (LOU):	S coded for Safety

CSSE will support the Product Safety Recall Team as a top priority, working with Design Engineering, Manufacturing Engineering, Component Engineering, a vendor, or any other group necessary to develop and test a solution for the problem.

Engineering shall evaluate and select the best technical solution.

Digital Services Safety and Liability shall verify that the technical solution eliminates the identified risk.

Field Change Order (FCO):

After the solution has been developed and tested, an FCO shall be used to document the problem and the correction. The FCO shall also be used to document how to inspect the product, remove the defect, install the solution to the problem, and other details as required.

The FCO shall be tested by the responsible CSSE Engineer and reviewed by DSS & L Engineers to ensure elimination of the problem.

A copy of the FCO shall be sent to Publishing Services for final formatting and preparation. When formatting is complete, a copy shall be sent to DSS & L for review, approval, and signature.

If changes to the FCO are required, the Publishing Services group must be notified immediately, and DSS & L and Customer Services Logistics (CSL) shall be called and/or courtesy copied with changes.

4.5.3 Estimating, Ordering, and Distributing Parts

The quantity of replacement parts required must be estimated, ordered, and distributed to the location(s) where they will be used. Replacement parts must be available when the customer/field responds to a recall request (when replacement is the recommended action).

4.5.4 Corporate/Manufacturing Distribution

If defective equipment must be immediately removed from the market, customers shall be notified to contact the local Customer Administrative Services representative for pick-up of the equipment.

Customer Administrative Services shall be responsible for customer pick-up and return of defective equipment.

Corporate Distribution shall be responsible for transportation and warehousing of defective equipment.

Customer Services Logistics shall be responsible for disposition of defective equipment and supplying replacement to customer.

4.5.5 Notification/Communication Development

Various forms of communications (both internal and external) are required during a recall process. It is imperative to remember that all communications and notifications must be approved by Digital's Law Department.

A "model notification" should be drafted and approved by legal counsel including model and/or serial numbers; distinguishing identification characteristics; extent of the hazard; what to do about repair, replacement, or repurchase; where to go; who to contact; and a toll free number to call for further information.

Such communications shall be factual, courteous, concise, and should not minimize the defects or possible hazards—communications should simply state the product defects and hazards. When directed to retailers or distributors, it should advise of the search of records to be used in customer notification.

4.5.6 Area Implementation Plan

The document used to implement the recall in the Field is the Area Recall Implementation Plan. The plan shall be developed by the Area Recall Team Representative and presented to the Recall Team for approval. The Area Implementation Plan must include the following information:

a. Time parameters to install the Field Change Order

b. How Warranty, Contract and Per Call Customers are to be handled

c. How to report recall corrective action activities

d. How to obtain recall assistance (technical, logistic)

e. Other requirements defined by the Recall Team

4.5.7 Reporting Procedures

Product Traceability

If parts are replaced in the field, adequate records must be maintained to allow traceability of the newly installed parts in the event that problems develop at a later date.

Field Data Reporting

Raw data from the field shall be sent to the Area Recall Team Representative who shall coordinate this information and forward it to the Recall Team Chairman. A sample Field Data Reporting Form is provided in Appendix A.

Periodic Reporting

Specific reporting periods shall be set up relative to the type of field penetration and response expected for the project. This penetration depends on the type of product, geographic distribution, type of media, and contact to the customer, as well as on the time allowed for implementation of corrective action.

Summary Reports

The Recall Team shall review all field reports and produce a Summary Report for circulation to the Product Safety Management Committee (PSMC) and Vice President of Customer any unusual situations or problems to be immediately identified and Servicess. This allows any unusual situations or problems to be immediately identified and corrected by the responsible group(s). Distribution of the reports shall be limited to key persons to avoid possible misuse or misinterpretation of the total program and its achievements.

4.6 IMPLEMENTATION

4.6.1 Notification Dissemination

Digital Employees

Line management shall implement initial notification to internal Digital employees. They shall distribute recall information quickly and consistently, ensuring that employees are properly aware of the situation and product(s) involved.

All subsequent notifications/details shall be made by the responsible Area representative on the Recall Team.

Internal Digital Organizations

Details of the problem and Digital's official company response must be made available to these groups prior to public notification.

Digital's Service Centers and Customer Services Offices may also need to make direct contacts prior to implementing the recall and during the recall. They need to be completely informed so that a customer's request may be properly handled.

Customer Services Line Management shall distribute recall information quickly to internal employees, to ensure that employees are aware of the situation and product(s) involved.

Customers

Customers affected by the recall shall be notified by various methods, including:

a. Registered mail

b. Telephone calls

c. Telegrams

d. Special news releases (radio, television, newspaper)

e. Mailgram

f. Direct contact.

Areas shall send letters using the Recall Database or any other appropriate method. If notification is immediately required, the letter supplied by the Recall Team may be transmitted from the Recall Database to an electronic mail service that relays the letter to the appropriate customers. If immediate notification is not required, the customer letter supplied by the Recall Team shall be sent through registered mail to the appropriate customers.

The choice of which method to use depends on the availability of communications in the Area, type of product, geographic distribution, and the number of products involved. The Recall Team, through Legal, has final approval of all methods of notification.

Self Maintenance Customers

All Field Change Orders having a Level of Urgency Code of "S" shall be listed in DEC-O-LOG. The DEC-O-LOG publication is available on a subscription basis to all of Digital Equipment Corporation's customers through the Self Maintenance Services Group.

Public News Releases

Although it is not always necessary to notify the general public of a recall, there are times when products cannot be located and it becomes necessary (or required by government agencies) to notify the general public through newspapers, magazines, television, or radio.

A field response system using a public hot line/toll free telephone number should be available to customers to allow proper and efficient handling of recall information.

Communication of product information to public media must be released through Corporate Public Relations, thus ensuring accurate and consistent responses from the Corporation.

NOTE

A clear agreement of organizational responsibility must be obtained before issuing a release.

4.6.2 Releasing FCO

Publishing Services shall notify and send a copy of the signed FCO to the Microfiche Group, who shall publish the FCO in the next Weekly Speed Bulletin (microfiche). Publishing Services shall notify and send a copy of the signed FCO to the Printing and Circulation Services Group for final/formal printing and distribution.

4.6.3 Monitoring Implementation

Product Safety Recall field activity must be monitored to measure the quality and timeliness of the corrective action, the number of units being reached in the field, the quality of service being supplied by the recall program, and the level of customer satisfaction. The Area Recall Team Representative must supply this information to the Recall Team.

Data received regarding modifications or returns from the field shall be verified periodically, either by management summary reports or actual raw data review.

4.6.4 Auditing Field Activity/Parts Traceability

In addition to implementation of field corrective action procedures, it is necessary to establish an auditing program to "verify" the quality of the modification service being implemented. The audit program shall be established for items or products affected by such modifications in inventory, the field, and new products coming off the production line. The Product Safety Recall Team shall be responsible for developing this audit program.

4.7 PROGRAM COMPLETION

4.7.1 Evaluation

To effectively ascertain the success of the process, the following areas must be evaluated.

Internal Effectiveness:

a. Administration of recall program
b. Hardware
c. Traceability of products
d. Accounting programs/record keeping
e. Interorganizational cooperation
f. Possible side effects of recall activity

Field Effectiveness:

a. Information dissemination
b. Customer feedback/satisfaction
c. Reporting program

Environmental Factors:

a. Future service
b. Public exposure
c. Product re-use
d. Consequences of product failure

Results of this evaluation process shall be reported to the CSMC Chairman (Corporate Vice President for Customer Services).

4.7.2 Archiving Recall Records

The Product Safety Recall Team shall ensure that all appropriate records are continuously archived during implementation and after completion of the Recall Program.

GLOSSARY

Alleged: Represented as existing but not so proved.

Alleged Product Safety Incident: Any report or actual witnessing of an event or situation that may have been caused by a part or product manufactured, sold, or serviced by Digital Equipment Corporation that resulted in damage to it or other equipment, property, or injury to a person. Also, the presence of any defect in workmanship, materials, or design in a part or product manufactured, sold, or serviced by Digital Equipment Corporation that could result in damage to it or other equipment, property, or injury to a person.

Case: A file maintained in response to a report of an alleged product safety incident.

Catastrophic: A great and sudden calamity; disaster.

CIP: Corporate Implementation Plan

Consumer Product: Any article or component part thereof produced or distributed for sale to consumer for use in or around a permanent or temporary household or residence, a school, in recreation or otherwise; or, for the personal use, consumption or enjoyment of a consumer in or around a permanent or temporary household or residence, a school, in recreation or otherwise.

Critical: Fraught with danger or risk; perilous.

CSC: Customer Support Center

DEC STD: A Digital standard (DEC STD) is an internal document that defines the technical aspects of engineering, manufacturing, and support that are required to be followed in the development of Digital products.

Digital standards contain product requirements, policies, and procedures that are applicable to all products, functional groups, and manufacturing plants worldwide.

Fatal: Injury resulting in death.

Fleet: Field population of products.

DSS & L: Digital Services Safety and Liability

FSMC: Customer Services Management Committee

Frequent: Occurring often; constant; habitual.

Hazard: A danger; peril; or risk. A source of danger.

Hotline: Twenty four hour telephone coverage for DSS & L incident reporting.

Imminent: About to occur; impending.

Impossible: Not possible

Incident: A definite, distinct occurrence; an event.

Inventory: Population of raw materials or product within the corporation.

Investigate: To observe or inquire into something in detail.

IRS: Incident Reporting System

Level: Relative position or rank on a scale.

Local Product Safety Representative: Individuals who have been trained to perform product safety incident pre-investigations.

Marginal: Barely within a lower standard or limit of a quantity.

Minor: Lesser in importance, rank, or stature.

Negligible: Not worth considering; trifling.

Occasional: Happening now and then; infrequent.

Possible: Capable of happening or occurring.

Pre-investigation: Initial data gathering by a Local Product Safety Representative.

Priority: Precedence, especially established by order of importance or urgency.

Probability: A number or rating expressing the likelihood of occurrence of specific event.

Probable: Likely to happen or to be true.

Remote: Distant in relation, connection, and such. Slight.

Resolution: A course of action determined or decided upon.

Risk: The possibility of suffering harm or loss; danger.

Safety: Freedom from danger or injury.

Serious: Grave in character, quality, or mien. Concerned with important rather than trivial matters.

Severity: Harshness; rigor. Gravity.

Source: The first person who contacts a Local Product Safety Representative about a alleged incident or reports a situation or event with product safety implications.

SSMI: Sales, Services, Marketing International

Substantial: Not imaginary; true, real. Considerable in importance, value, degree, amount or extent.

Substantial Product Hazard: A failure to comply with an applicable consumer product safety rule which creates a substantial risk or injury to the public, or a product defect which (because of the pattern of defect, the number of defective products distributed in commerce, the severity of the risk or otherwise) creates a substantial risk of injury to the public.

Witness: Any person, in addition to the Source, who provides information on or about the alleged product safety incident to a Local Product Safety Representative.

APPENDIX A SAMPLE FORMS

Figure 1: Sample Pre-Investigation Report Form (Sheet 1 of 4)

digital™

CUSTOMER SERVICES PRODUCT SAFETY **PRE–INVESTIGATION REPORT**

Date Incident Reported To CSPS	Time Incident Reported To CSPS	Date Incident Occured	Time a.m./p.m.
Date Incident Report To Local Report	Time Reported	Local Reference Number	
Source Name	Title	Group	
Location/Mail Stop	Badge Number	DTN?Telephone	Enet Node
Pre–Investigator's Name	Title	Group	
Location/Mail Stop	Badge Number	DTN/Telephone	Enet Node
DEC Product (Option)	Product Serial Number	Component Part Number	Component Serial Number
		Status/Location Of Eviaence (i.e. damaged material)	

TYPE OF HAZARD (CHECK ONLY ONE)

FIRE
- ☐ Flame
- ☐ Smoke
- ☐ Over–Heating

ELECTRICAL
- ☐ Shock
- ☐ Energy

MECHANICAL
- ☐ Stability
- ☐ Moving Parts
- ☐ Sharp Edges
- ☐ Collapse
- ☐ Propelled Objects

CHEMICAL
- ☐ Toxicity
- ☐ Irritation

MISCELLANEOUS
- ☐ Hot Surfaces
- ☐ Noise
- ☐ Radiation
- ☐ Other

Equipment Coming ☐ YES ☐ NO

Paperwork coming ☐ YES ☐ NO

☐ Scrap ☐ Credit ☐ Return to Orig.

Was there property damage? ☐ YES ☐ NO

Was there product damage? ☐ YES ☐ NO

If there was a fire, was the Fire Department Called? ☐ YES ☐ NO

Did Fire Suppression system trip? ☐ YES ☐ NO

Was anyone injured? ☐ YES ☐ NO	Injured's Name	Badge Number	Title
Group	Location/Mail Stop	DTN/Telephone	Enet Node

Was medical attention sought? ☐ YES ☐ NO

Description Of Injuries: _____

Witness's Names: _____

Source, injured or witness employed by another company:

☐ YES ☐ NO

Company Name	Company Contact:	Company telephone/Telex
Company Address		

"DIGITAL CONFIDENTIAL – DO NOT COPY"

Figure 2: Sample Pre-Investigation Report Form (Sheet 2 of 4)

How did you hear about us?

- ☐ US AREA
- ☐ BROCHURES
- ☐ HOT LINE
- ☐ REERRED BY _____
- ☐ OTHER _____

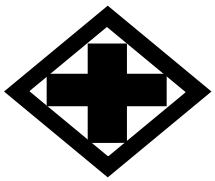
SOURCES DESCRIPTION OF INCEIDENT (Use sources words only or reer to witness statement)

CUSTOMER'S LEVEL OF CONCERN:

"DIGITAL CONFIDENTIAL – DO NOT COPY"

Figure 3: Sample Pre-Investigation Report Form (Sheet 3 of 4)

PRE–INVESTIGATOR'S DESCRIPTION OF INCIDENT



"DIGITAL CONFIDENTIAL – DO NOT COPY"

Figure 4: Sample Pre-Investigation Report Form (Sheet 4 of 4)

PRE–INVESTIGATOR'S NOTES (Value added to investigation)

"DIGITAL CONFIDENTIAL – DO NOT COPY"

Figure 5: Sample Witness Statement Form (Sheet 1 of 2)

digital

CUSTOMER SERVICES PRODUCT SAFETY

WITNESS STATEMENT

To Whom This May Concern:

I, _____ (Name) _____ (Badge Number) _____ (Cost Center of Witness)

_____ (Loc./Mail Stop) _____ (DTN) _____ (Job Title) _____ (Dept. of Witness)

Date of Incident _____ 19 _____ | Time of Incident ☐ A.M. ☐ P.M. | Day of Week

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

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_____

_____

_____

_____

_____

_____

_____

_____ (Witness Signature) _____ (Date)

THIS FORM SHOULD BE COMPLETED AS SOON AS POSSIBLE AFTER AN INCIDENT

Figure 6: Sample Witness Statement Form (Sheet 2 of 2)

INVESTIGATOR'S INTERVIEW NOTES

Date of Interview	Time of Interview ☐ AM ☐ PM	Name of Interviewer

BRANCH NAME AND COST CENTER NUMBER	QUANTITY PRODUCTS RECALLED	QUANTITY PRODUCTS INSPECTED	QUANTITY KITS INSTALLED	% COMPLETED

1. Each Area Product Recall Term (PRT) representative shall collect recall information from each branch on a periodic basis (to be defined by the PRT) and present it to the Recall Project Manager.
2. The Product Recall Term shall consolidate recall information.
3. The Recall Project Manager shall present this information to the Customer Services Management Committee.

APPENDIX B REFERENCED DOCUMENTS

B.1 EL-Class Digital Documents

EL-Class Number	Document Title
EL-00005-00	*DEC STD 005-0 Operational Alert (OPAL) Procedure*
EL-00005-05	*DEC STD 005-5 Manufacturing Product Safety Policy and Procedure for Pre-Investigation of Alleged Product Safety Incidents*
EL-00071-00	*DEC STD 071-0 Field Change Order Policy - Introduction*
EL-00071-03	*DEC STD 071-3 Field Change Order Conventions and Processing - Field Service Product Safety and Liability*
EL-00100-00	*DEC STD 100-0 Policy and Requirements for the Product Change Process*
EL-00119-00	*DEC STD 119-0 Digital Product Safety - Introduction and General Requirements*
EL-00119-01	*DEC STD 119-1 Digital Product Safety - Design Criteria*
EL-00131-00	*DEC STD 131-0 Traceability Policy*
EL-00424-00	*Digital Product Safety Handbook*

Use VTX SMC to order copies of EL-class documents from Standards and Methods Control. Send distribution questions to JOKUR::SMC or call DTN: 234-4423.

APPENDIX C RELATED DOCUMENTS

C.1 Other Digital Documents

Document Number	Document Title
	Corporate Record Retention Schedule

C.2 Other Documents

Document Number	Document Title
	Digital Services Safety and Liability Operations Manual

C.3 Ordering Information

These documents can be obtined from Digital Services Safety and Liability. direct requests to:

Janet Bullock

OGO1-2/H11, DTN: 276-8258, CSSE::BULLOCK

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